



California Department of Education Adult Education (AE) 2017–18 Program Instrument

I. Involvement

AE 01: Collaboration, Alignment, and Support Services

1.0 Eligible provider demonstrates alignment between proposed activities and services and the strategy and goals of the local plan under 29 United States Code (29 U.S.C) section (§) 3123, as well as the activities and services of the one-stop partners. (29 U.S.C. § 3321[e][4])

1.1 Eligible provider's activities coordinate with other available education, training, and social service resources in the community, such as, by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, one-stop centers, job training programs, social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries, for the development of career pathways. (20 U.S.C. § 3321[e][10])

1.2 Eligible provider's activities offer flexible schedules and coordination with federal, state, and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs. (29 U.S.C. § 3321[e][11])

1.3 Eligible provider is responsive to: (a) Regional needs as identified in the local workforce development plan (29 U.S.C. § 3123); and (b) Serving individuals in the community who were identified in such plan as most in need of adult education and literacy activities, including individuals: (i) who have low levels of literacy skills; or (ii) who are English language learners. (29 U.S.C. § 3321[e][1])

Evidence Request Titles

Memorandum of Understanding (MOU)

Resource Guide

Supplemental Evidence of Collaboration

Umbrella MOU or Separate MOU Relating to Operation of One-stop

II. Governance and Administration

AE 02: Policies and Plans

2.0 Whenever a state or outlying area implements any rule or policy relating to the administration or operation of a program authorized under this subchapter that has the effect of imposing a requirement that is not imposed under federal law (including any rule or policy based on a state or outlying area interpretation of a federal statute, regulation, or guideline), the state or outlying area shall identify, to eligible providers, the rule or policy as being imposed by the state or outlying area. (29 U.S.C. § 3303[c])

2.1 Except as specified in California *Education Code (EC)* § 52613, the governing board of a school district shall not impose a charge of any kind for a class in English and citizenship or a class in an elementary subject. A fee charge shall not be made for a class designated by the governing board as a class for which high school credit is granted when the class is taken by a person who does not hold a high school diploma. (*EC* § 52612[a])

2.2 The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 Code of Federal Regulations [CFR] Part 99) is a federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U.S. Department of Education.

2.3 The establishment or operation of high quality professional development programs to improve the instruction provided pursuant to local activities required under 29 U.S.C. § 3321[b], including instruction incorporating the essential components of reading instruction as such components relate to adults, instruction related to the specific needs of adult learners, instruction provided by volunteers or by personnel of a state or outlying area, and dissemination of information about models and promising practices related to such programs. (29 U.S.C. § 3303[a][1][B])

2.4 Eligible provider implementing a Workforce Innovation and Opportunity Act (WIOA), Section 243, program must provide integrated English literacy and civics education in combination with integrated education and training activities. (29 U.S.C. § 3333[a])

Evidence Request Titles

Americans with Disabilities Act (ADA)/Individuals with Disabilities Education Act (IDEA) Policy (AE 02, AE 07)

FERPA Policy

Integrated Education and Training Plan (AE 02, AE 11)

Local Assessment Policy (AE 02, AE 04)

No Fees Policy (AE 02, AE 03)

Professional Development (PD) Plan (AE 02, AE 05)

Technology and Distance Learning Plan (AE 02, AE 10)

III. Funding

AE 03: Financial Accountability

3.0 Eligible provider shall expend: (1) not less than 95 percent for carrying out adult education and literacy activities; and (2) the remaining amount, not to exceed 5 percent, shall be used for planning, administration (including carrying out the requirements under 29 U.S.C. § 3141), professional development, and the activities described in paragraphs (3) and (5) of 29 U.S.C. § 3322. (29 U.S.C. § 3323[a])

3.1 Funds made available for adult education and literacy activities shall supplement and not supplant other state or local public funds expended for adult education and literacy activities. (29 U.S.C. § 3331[a])

3.2 The local financial management system must provide for the effective control and accountability for all funds, property, and other assets. Eligible provider must adequately safeguard all assets and assure that they are used solely for authorized purposes. (2 CFR § 200.302[b][4])

3.3 Any shared costs or matching funds and all contributions, including cash and third party in-kind contributions, are accepted when such contributions meet all of the following federal criteria, as part of the eligible provider's cost sharing or matching:

- (1) Are verifiable from the non-federal entity's records;
- (2) Are not included as contributions for any other federal award;
- (3) Are necessary and reasonable for accomplishment of product or program objectives;
- (4) Are allowable under subpart E-cost principles of 2 CFR Part 200;
- (5) Are not paid by the federal government under another federal award, except where the federal statute authorizing a program specifically provides that federal funds made available for such program can be applied to matching or cost sharing requirements of other federal programs;
- (6) Are provided for in the approved budget when required by the federal awarding agency; and
- (7) Conform to other provisions of this part, as applicable. (2 CFR § 200.306[b])

3.4 Financial records, supporting documents, statistical records, and all other records pertinent to a federal award must be retained for a period of three years from the date of submission of the final expenditure report. The only exceptions are the following:

- (a) If any litigation, claim, or audit is started before the expiration of the three-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken.
- (b) When the non-federal entity is notified in writing by the federal awarding agency, cognizant agency for audit, oversight agency for audit, cognizant agency for indirect costs, or pass-through entity to extend the retention period.
- (c) Records for real property and equipment acquired with federal funds must be retained for three years after final disposition.
- (d) When records are transferred to or maintained by the federal awarding agency or pass-through entity, the three-year retention requirement is not applicable to the non-federal entity.
- (e) Records for program income transactions after the period of performance. In some cases recipients must report program income after the period of performance. Where there is such a requirement, the retention period for the records pertaining to the earning of the program income starts from the end of the non-federal entity's fiscal year in which the program income is earned. (2 CFR § 200.333)

Evidence Request Titles

Equipment Inventory Records (AE 03, AE 10, BASP 10, BASP 15, CE 14, CTE 03, EES 06, EL 10, HE 08, ME 06, NorD 08)

General Ledger (AE 03, CE 09, CE 10, CTE 05, FM 01, FM 02, FM 03, FM 04, FM 05, FM 06, ITQ 05, ITQ 06, ITQ 07)

In-kind and other Non-federal Expenditures

No Fees Policy (AE 02, AE 03)

Organizational Charts

Samples of Board Minutes

Staff Funding Report

Time Accounting Sheets

IV. Standards, Assessment, and Accountability

AE 04: Data Collection and Program Effectiveness

4.0 Financial records, supporting documents, statistical records, and all other records pertinent to a federal award must be retained for a period of three years from the date of submission of the final expenditure report. The only exceptions are the following:

- (a) If any litigation, claim, or audit is started before the expiration of the three-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken.
- (b) When the non-federal entity is notified in writing by the federal awarding agency, cognizant agency for audit, oversight agency for audit, cognizant agency for indirect costs, or pass-through entity to extend the retention period.
- (c) Records for real property and equipment acquired with federal funds must be retained for three years after final disposition.
- (d) When records are transferred to or maintained by the federal awarding agency or pass-through entity, the three-year retention requirement is not applicable to the non-federal entity.
- (e) Records for program income transactions after the period of performance. In some cases recipients must report program income after the period of performance. Where there is such a requirement, the retention period for the records pertaining to the earning of the program income starts from the end of the non-federal entity's fiscal year in which the program income is earned. (2 CFR § 200.333)

4.1 Eligible provider shall maintain a high-quality information management system that has the capacity to report measurable participant outcomes (consistent with 29 U.S.C. § 3141) and to monitor program performance. (29 U.S.C. § 3321[e][12])

4.2 Eligible provider shall demonstrate past effectiveness in improving the literacy of eligible individuals, to meet state adjusted levels of performance for the primary indicators of

performance (described in 29 U.S.C. § 3141.), especially with respect to eligible individuals who have low levels of literacy. (29 U.S.C. § 3321[e][3])

Evidence Request Titles

Data Integrity Reports

Federal Tables 4 and 5

High School Diplomas Awarded

Local Assessment Policy (AE 02, AE 04)

National Reporting System (NRS) Tables Monitor

Payment Point Summary

Persistor Reports

V. Staffing and Professional Development

AE 05: Staff Qualifications and Professional Development

5.0 Eligible provider's activities are delivered by well-trained instructors, counselors, and administrators who meet any minimum qualifications established by the state, where applicable, and who have access to high quality professional development, including through electronic means (29 U.S.C. § 3321[9]) This requirement may be met by complying with the requirements set forth in *EC* sections (§§) 44258 and 44865.

Evidence Request Titles

Administrative and Staff Assignments

Credentials of Administrators and Instructional Staff

Duty Statements or Job Descriptions of Administrators and Staff

Evidence of Professional Development

Professional Development (PD) Plan (AE 02, AE 05)

VI. Opportunity and Equal Education Access

AE 06: Needs Assessment

6.0 Eligible provider shall be responsive to regional needs identified in the local plan pursuant to 29 U.S.C. § 3123, and serving individuals in the community who were identified as most in need of adult education and literacy activities, including individuals who have low levels of literacy skills, or who are English language learners, or eligible individuals with disabilities, including individuals with learning disabilities. (29 U.S.C. § 3321[e][1] and [2])

Evidence Request Titles

Adult Education and Family Literacy Act Program Demographic Reports, Federal Tables 1, 2, and 3
Community Demographics Reports
English Literacy and Civics Education Needs Assessments

AE 07: Serving Individuals with Disabilities

7.0 Eligible provider will serve eligible individuals with disabilities, including individuals with learning disabilities. (29 U.S.C. § 3321[e][2])

Evidence Request Titles

Americans with Disabilities Act (ADA)/Individuals with Disabilities Education Act (IDEA) Policy (AE 02, AE 07)

AE 08: Intensity, Duration, and Flexible Scheduling

8.0 Eligible provider's program is of sufficient intensity and quality, and based on the most rigorous research available so that participants achieve substantial learning gains. (29 U.S.C. § 3321[e][5][A])

Eligible provider's activities offer flexible schedules and coordination with federal, state, and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs. (29 U.S.C. § 3321[e][11])

Evidence Request Titles

Class Schedule/Catalog (AE 08, AE 10)
Course Outlines (AE 8, CTE 1, PE 02, PE 07, PE 08)
Courses Approved by the Local Board

VII. Teaching and Learning

AE 09: Evidence-Based Instructional Practices and Reading Instruction

9.0 Eligible provider uses instructional practices that include the essential components of reading instruction. (29 U.S.C. § 3321[e][5][B])

9.1 Eligible provider's activities (which include reading, writing, speaking, mathematics, and English language acquisition instruction and delivered by the eligible provider), shall be based on the best practices derived from the most rigorous research available and are appropriate, including scientifically valid research and effective educational practice. (29 U.S.C. § 3321[e][6])

Evidence Request Titles

Sample Curriculum

Sample Instructional Materials

AE 10: Effective Use of Technology and Distance Learning

10.0 Eligible provider's activities effectively use technology, services, and delivery systems, including distance education in a manner sufficient to increase the amount and quality of learning and how such technology, services, and systems lead to improved performance. (29 U.S.C. § 3321[e][7])

Evidence Request Titles

Class Schedule/Catalog (AE 08, AE 10)

Equipment Inventory Records (AE 03, AE 10, BASP 10, BASP 15, CE 14, CTE 03, EES 06, EL 10, HE 08, ME 06, NorD 08)

Federal Table 5A

Technology and Distance Learning Plan (AE 02, AE 10)

AE 11: Facilitate Learning in Context

11.0 Eligible provider's activities provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and responsibilities of citizenship. (29 U.S.C. § 3321[e][8])

11.1 Eligible providers demonstrate a need for additional English language acquisition programs and civics education programs. (29 U.S.C. § 3321[e][13])

Evidence Request Titles

Co-enrollment in an Integrated Education and Training (IET) course with ESL, ABE, or ASE

Integrated Education and Training Plan (AE 02, AE 11)

WIOA Civic Objectives and Additional Assessment Plans (COAAPs)

AE Evidence Requests

Administrative and Staff Assignments

AsgmtAdmnStf

Description: Current and prior year.

Item Instructions:

Related Items: AE 05

Adult Education and Family Literacy Act (AEFLA) Program Demographic Reports, Federal Tables 1, 2, and 3

FdrITbl1,2,&3

Description: Current and prior three years.

Item Instructions:

Related Items: AE 06

Americans with Disabilities Act (ADA)/Individuals with Disabilities Education Act (IDEA) Policy

DsbltsPlcy

Description: Policies adopted by the provider to accommodate students and staff with disabilities. Procedures to ensure students with Individualized Education Plans (IEPs) and Section 504 Plans have equitable access to programs, activities, and transitional services.

Item Instructions:

Related Items: AE 02, AE 07

Class Schedule/Catalog

ClsSchdCtlg

Description: Current and prior year.

Item Instructions:

Related Items: AE 08, AE 10

Co-enrollment in an Integrated Education and Training (IET) course with ESL, ABE, or ASE

CEnrlmntEvdnc

Description: Evidence that students are co-enrolled in an IET course with English as a Second Language (ESL), Adult Basic Education (ABE), or Adult Secondary Education (ASE).

Item Instructions:

Related Items: AE 11

Community Demographics Reports

CmntyDmgrphcsRpts

Description: Commensurate with program offerings and services provided for the current and prior year (e.g. U.S. Census Bureau or other statistically-valid and reliable report).

Item Instructions:

Related Items: AE 06

Courses Approved by the Local Board

BdApvdCrs

Description: Adult education courses approved by grantee's board. Current and prior year.

Item Instructions:

Related Items: AE 08

Course Outlines

CrsOtlns

Description: Link documents from the current and prior year.

Item Instructions:

Related Items: AE 8, CTE 09, PE 02, PE 07, PE 08

Credentials of Administrators and Instructional Staff

CrdtlAdmnInstStf

Description: Credentials must be commensurate with current and prior year assignments.

Item Instructions:

Related Items: AE 05

Data Integrity Reports

DtIntgrtyRpts

Description: Current and prior three years.

Item Instructions:

Related Items: AE 04

Duty Statements or Job Descriptions of Administrators and Staff

AdmnStfJbDscrpn

Description: Current and prior year.

Item Instructions:

Related Items: AE 05

English Literacy and Civics Education Needs Assessments

NeedsAsmtsEngLitCivEd

Description: Current and prior year.

Item Instructions:

Related Items: AE 06

Equipment Inventory Records

EqplnvRcds

Description: Historical inventory list of all equipment purchased for \$500 or more per unit per EDGAR/CA *EC* requirements and a record of last physical check of items. Include items under \$500 that are easily stolen. Indicate in a comment if no purchases were made fitting this criteria.

Item Instructions: AE 03: Provide percentages of AEFLA funds used, serial numbers, resource codes, location of equipment, and items that were disposed of and how they were disposed. Current and prior year.
AE 10: Provide percentages of AEFLA funds used, serial numbers, resource codes, location of equipment, and items that were disposed of and how they were disposed. Current and prior year.

Related Items: AE 03, AE 10, BASP 10, BASP 15, CE 14, CTE 03, EES 06, EL 10, HE 08, ME 06, NorD 08

Evidence of Professional Development

EvdncPrfDvlpmnt

Description: Include policies, agendas, training materials, completion certificates, or sign-in sheets. Current and prior year.

Item Instructions:

Related Items: AE 05

Federal Tables 4 and 5

FdrITbl4&5

Description: Current and prior three years.**Item Instructions:****Related Items:** AE 04

Federal Table 5A

FdrITbl5A

Description: Current and prior year.**Item Instructions:****Related Items:** AE 10

FERPA Policy

FERPAPlcy

Description: Provider's policy for protecting the privacy of student education records.**Item Instructions:****Related Items:** AE 02

General Ledger

GnLdgr

Description: Detailed General Ledger for the specific resource code(s) being reviewed. The general ledger should include the date, description, vendor name, and total amount for each expenditure line item.**Item Instructions:** AE 03: Include the date, description, vendor name, and total amount for all adult education expenditures for the current and prior three years. Use resource codes such as: 3940; 3905; 3913; 3926; and 6391.**Related Items:** AE 03, CE 09, CE 10, CTE 05, FM 01, FM 02, FM 03, FM 04, FM 05, FM 06, ITQ 05, ITQ 06, ITQ 07

High School Diplomas Awarded

HghSchlDplmsAwrd

Description: For local educational agencies (LEAs) only. Official list from the current and prior three years.

Item Instructions:

Related Items: AE 04

In-kind and other Non-federal Expenditures

InkndNonFdExp

Description: For providers who claim in-kind and other non-federal expenditures, explain/document how expenditures are calculated and included in final expenditure claim reports (ECRs). Current and prior three years.

Item Instructions:

Related Items: AE 03

Integrated Education and Training Plan

IntgrtdEdctnTrnPln

Description: Current and prior year.

Item Instructions:

Related Items: AE 02, AE 11

Local Assessment Policy

LclAsmtPlcy

Description: Current year.

Item Instructions:

Related Items: AE 02, AE 04

Memorandum of Understanding (MOU)

MOU

Description: A signed agreement between two or more LEAs.

Item Instructions: MOUs or formal/informal agreements that demonstrate current collaborations or partnerships with the adult education program.

Related Items: AE 01, BASP 09, BASP 12, BASP 14, CTE 07

National Reporting System (NRS) Tables Monitor

NRSTblMntr

Description: Provide one NRS Tables Monitor report, without student names and date of birth, for each program area at each site/campus. Current and prior year.

Item Instructions:

Related Items: AE 04

No Fees Policy

BrdAprvdFeePlcy

Description: No fees of any kind may be collected from students for participation in the Workforce Innovation and Opportunities ACT (WIOA) Title II (Public Law 113-128): AEFLA programs. Current and prior three years.

Item Instructions:

Related Items: AE 02, AE 03

Organizational Charts

OrgChts

Description: Include names and titles of staff and board members from the current year.

Item Instructions:

Related Items: AE 03

Payment Point Summary

PmtPtSmry

Description: Current and prior three years.

Item Instructions:

Related Items: AE 04

Persistor Reports

PrstrRpts

Description: Current and prior three years.

Item Instructions:

Related Items: AE 04

Professional Development (PD) Plan

PDPIn

Description: Submit your current and prior year PD plans for teachers, support staff, and administrators.

Item Instructions:

Related Items: AE 02, AE 05

Resource Guide

RsrcGd

Description: Evidence that demonstrates resources available to adult education students. Current and prior year.

Item Instructions:

Related Items: AE 01

Sample Curriculum

SmplCrclm

Description: Current and prior year.

Item Instructions:

Related Items: AE 09

Sample Instructional Materials

SmplInstMtrls

Description: Current and prior year.

Item Instructions:

Related Items: AE 09

Samples of Board Minutes

SmplBrdMnts

Description: Samples of board minutes for community based organizations only. Current and prior three years.

Item Instructions: AE 03: Include two (2) samples of board minutes from each year.

Related Items: AE 03

Staff Funding Report

StfFndRpt

Description: Current and prior three years.

Item Instructions: AE 03: See staff funding report resource for additional information/guidance.

Related Items: AE 03

Supplemental Evidence of Collaboration

SuplMntlEvdncClbrt

Description: Evidence such as: recent meeting agendas, sign-in sheets, minutes, committee rosters, and community outreach materials. Current and prior year.

Item Instructions:

Related Items: AE 01

Technology and Distance Learning Plan

TchnlgyPln

Description: Current and prior year.

Item Instructions:

Related Items: AE 02, AE 10

Time Accounting Sheets

TmAcctShts

Description: Include samples which include, name, title, pay period, funding source and percentage(s), and signatures. Current and prior year.

Item Instructions:

Related Items: AE 03

Umbrella MOU or separate MOU relating to operation of One-stop

UmbrlMOU

Description: A current MOU with the Local Workforce Development Board (LWDB) that outlines the activities and services of each partner in the overarching delivery system to support the goals of the local plan.

Item Instructions:

Related Items: AE 01

WIOA Civic Objectives and Additional Assessment Plans (COAAPs)

COAAPs

Description: Evidence of course offerings related to WIOA Civic Objectives.

Item Instructions:

Related Items: AE 11
